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PTO/SB/21 (05-03)

Approved for use through 04/30/2003. OMB 0651-0031

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## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

|                        |                     |
|------------------------|---------------------|
| Application Number     | 09/707,730          |
| Filing Date            | November 6, 2000    |
| First Named Inventor   | HILL, CRAIG         |
| Group Art Unit         | 1647                |
| Examiner Name          | LANDSMAN, ROBERT S. |
| Attorney Docket Number | ASIL-002CIP         |

Total Number of Pages in This Submission **24**

### ENCLOSURES (check all that apply)

|   |   |  |
|---|---|--|
| <input checked="" type="checkbox"/> Fee Transmittal Form<br><input type="checkbox"/> Fee Attached<br><input checked="" type="checkbox"/> Amendment / Reply<br><input type="checkbox"/> After Final<br><input type="checkbox"/> Affidavits/declaration(s)<br><input checked="" type="checkbox"/> Extension of Time Request<br><input type="checkbox"/> Express Abandonment Request<br><input type="checkbox"/> Information Disclosure Statement<br><input type="checkbox"/> Certified Copy of Priority Documents<br><input type="checkbox"/> Response to Missing Parts/<br>Incomplete Application<br><input type="checkbox"/> Response to Missing Parts<br>under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Assignment Papers<br>(for an Application)<br><input type="checkbox"/> Drawing(s)<br><input type="checkbox"/> Licensing-related Papers<br><input type="checkbox"/> Petition<br><input type="checkbox"/> Petition to Convert to a<br>Provisional Application<br><input type="checkbox"/> Power of Attorney, Revocation<br>Change of Correspondence<br>Address<br><input type="checkbox"/> Terminal Disclaimer<br><input type="checkbox"/> Request for Refund<br><input type="checkbox"/> CD, Number of CD(s) | <input type="checkbox"/> After Allowance Communication<br>to Group<br><input type="checkbox"/> Appeal Communication to Board<br>of Appeals and Interferences<br><input type="checkbox"/> Appeal Communication to Group<br>(Appeal Notice, Brief, Reply Brief)<br><input type="checkbox"/> Proprietary Information<br><input type="checkbox"/> Status Letter<br><input checked="" type="checkbox"/> Other Enclosure(s) (please<br>identify below):<br>1) 2 Publications (12 pgs.)<br>2) Return Postcard<br>3) Suppl. ADS (3 pgs.) |
|---|---|--|

Remarks

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Signing Attorney/Agent  
(Reg. No.)

CAROL L. FRANCIS, 36.513  
BOZICEVIC, FIELD & FRANCIS LLP

Signature

Date

August 7, 2003

EXPRESS MAIL LABEL NO. EV333999234US

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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8/11/02

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**FEE TRANSMITTAL  
for FY 2003**

Effective 01/01/2003. Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27**TOTAL AMOUNT OF PAYMENT** (\$ 501.00)**METHOD OF PAYMENT (check all that apply)**☐ Check ☐ Credit Card ☐ Money Order ☐ Other ☐ None☒ Deposit Account:

Deposit Account Number 50-0815

Deposit Account Name Bozicevic, Field &amp; Francis LLP

The Commissioner authorized to: (check all that apply)

☒ Charge fees indicated below ☒ Credit any overpayments☐ Charge any additional fee(s) during the pendency of this application☐ Charge fees indicated below, except for the filing fee to the above-identified deposit account.**FEE CALCULATION****1. BASIC FILING FEE**

| Large Entity Fee Code | Small Entity Fee Code | Fee Description        | Fee Paid |
|-----------------------|-----------------------|------------------------|----------|
| 1001 750              | 2001 375              | Utility filing fee     |          |
| 1002 330              | 2002 165              | Design filing fee      |          |
| 1003 520              | 2003 260              | Plant filing fee       |          |
| 1004 750              | 2004 375              | Reissue filing fee     |          |
| 1005 160              | 2005 80               | Provisional filing fee |          |

**SUBTOTAL (1)****2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

|  | Extra Claims | Fee from below | Fee Paid |
|--|--------------|----------------|----------|
| Total Claims <del>36</del> 40-36** = 4 | x 9          | =              | 36.00    |
| Indep. Claims 1                        | -3** =       | x              | =        |
| Multiple Dependent                     |              | =              |          |

| Large Entity Fee Code | Small Entity Fee Code | Fee Description  |
|-----------------------|-----------------------|--|
| 1202 18               | 2202 9                | Claims in excess of 20                                     |
| 1201 84               | 2201 42               | Independent claims in excess of 3                          |
| 1203 280              | 2203 140              | Multiple dependent claim, if not paid                      |
| 1204 84               | 2204 42               | ** Reissue independent claims over original patent         |
| 1205 18               | 2205 9                | ** Reissue claims in excess of 20 and over original patent |

**SUBTOTAL (2) \$ 18.00**

\*\*or number previously paid, if greater; For Reissues, see above.

**Complete if Known**

Application Number 09/707,730  
 Filing Date November 6, 2000  
 First Named Inventor HILL, CRAIG  
 Examiner Name LANDSMAN, ROBERT S.  
 Art Unit 1647  
 Attorney Docket No. ASIL-002CIP

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

| Large Entity Fee Code | Small Entity Fee Code | Fee Description  | Fee Paid |
|-----------------------|-----------------------|--|----------|
| 1051 130              | 2051 65               | Surcharge - late filing fee or oath  |          |
| 1052 50               | 2052 25               | Surcharge - late provisional filing fee or cover sheet                     |          |
| 1053 130              | 1053 130              | Non-English specification  |          |
| 1812 2,520            | 1812 2,520            | For filing a request for <i>ex parte</i> reexamination                     |          |
| 1804 920*             | 1804 920*             | Requesting publication of SIR prior to Examination action                  |          |
| 1805 1,840*           | 1805 1,840*           | Requesting publication of SIR after Examiner action                        |          |
| 1251 110              | 2251 55               | Extension for reply within first month                                     |          |
| 1252 410              | 2252 205              | Extension for reply within second month                                    |          |
| 1253 930              | 2253 465              | Extension for reply within third month                                     | 465.00   |
| 1254 1,450            | 2254 725              | Extension for reply within fourth month                                    |          |
| 1255 1,970            | 2255 985              | Extension for reply within fifth month                                     |          |
| 1401 320              | 2401 160              | Notice of Appeal   |          |
| 1402 320              | 2402 160              | Filing a brief in support of an appeal                                     |          |
| 1403 280              | 2403 140              | Request for oral hearing   |          |
| 1451 1,510            | 1451 1,510            | Petition to institute a public use proceeding                              |          |
| 1452 110              | 2452 55               | Petition to revive - unavoidable   |          |
| 1453 1,300            | 2453 650              | Petition to revive - unintentional   |          |
| 1501 1,300            | 2501 650              | Utility issue fee (or reissue)   |          |
| 1502 470              | 2502 235              | Design issue fee   |          |
| 1503 630              | 2503 315              | Plant issue fee  |          |
| 1406 130              | 1460 130              | Petitions to the Commissioner  |          |
| 1807 50               | 1807 50               | Processing fee under 37 CFR 1.17(q)  |          |
| 1806 180              | 1806 180              | Submission of Information Disclosure Stmt                                  |          |
| 8021 40               | 8021 40               | Recording each patent assignment per property (times number of properties) |          |
| 1809 750              | 2809 375              | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 1810 750              | 2810 375              | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
| 1801 750              | 2801 375              | Request for Continued Examination (RCE)                                    |          |
| 1802 900              | 1802 900              | Request for expedited examination of a design application                  |          |

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3) (\$)****SUBMITTED BY****Complete (if applicable)**

Name (Print/Type) Carol L. Francis  
 Signature *Carol L. Francis*  
 Registration No. (Attorney/Agent) 36,513  
 Telephone (650) 327-3400  
 Date 08/07/2003

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B/25-  
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8/28/03



**AMENDMENT UNDER  
37 C.F.R. §1.111**

Address to:  
Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313

|                                  |   |
|----------------------------------|---|
| Attorney Docket Confirmation No. | ASIL-002CIP<br>8812   |
| First Named Inventor             | Craig Hill  |
| Application Number               | 09/707,730  |
| Filing Date                      | November 6, 2000  |
| Group Art Unit                   | 1647  |
| Examiner Name                    | Robert S. Landsman  |
| Title                            | "Compounds for Intracellular Delivery of Therapeutic Moieties to Nerve Cells" |

Sir:

This amendment is responsive to the Office Action dated February 10, 2003 for which a three-month period for response was given making this response due on or before May 10, 2003. Applicants hereby Petition for a Three Month Extension of Time, making this response timely filed on or before August 10, 2003.

Reconsideration is respectfully requested in view of the amendments and arguments set out below.

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08/13/2003 SSITHIB1 00000118 500815 09707730

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